

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of: R. Cohen, et al.	)	Group Art Unit: 2124
Serial No.: 10/716,391	)	Examiner: To be Assigned
Filed: November 17, 2003	)	Attorney Docket No.: HAE-001.01
For: <i>Systems and Methods for Computing</i>	)	(24612-101)
<i>Performance Parameters of Securities</i>	)	
<i>Portfolios</i>	)	

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56 and 1.97**

Dear Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants and/or their Attorney in compliance with the requirements of 37 C.F.R. § 1.56. Pursuant to the July 11, 2003 Pre-Official Gazette Notice, only copies of the non-US patent references (References AB-AG) are being submitted. Applicants respectfully request that the Examiner consider the listed documents and indicate they were considered by making appropriate notations on the attached Form PTO-1449.

This submission does not represent that a search has been made or that no better art exists. Nor does it constitute an admission that the cited documents are material or constitute "prior art." If the Examiner applies the listed documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the claimed subject matter over the listed

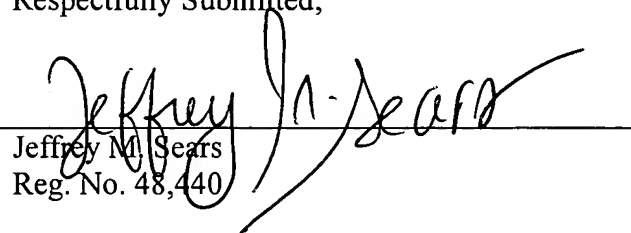
documents, should one or more of the referenced documents be applied against the claims of the present application.

No fee is believed due. If a fee is occasioned or if extensions of time are necessary, the Commissioner is authorized to charge any fee deficiency or credit overpayment to our **Deposit Account No. 06-1448, Ref. HAE-001.01.**

Respectfully Submitted,

Date: March 16, 2004

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Form PTO-1449

## INFORMATION DISCLOSURE CITATION

Docket Number (Optional)  
HAE-001.01 (24612-101)Application Number  
10/716,391Applicant  
R. Cohen et al.Filing Date  
November 17, 2003Group Art Unit  
2124

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	2001/0042037	11/15/01	Kam et al.			
AB	2002/0032630	03/14/02	Peng et al.			
AC	2002/0059127	05/16/02	Brown et al.			
AD	2002/0147671	10/10/02	Sloan et al.			
AE	2002/0174045	11/21/02	Arena et al.			
AF	2003/0004846	01/02/03	Schneider			
AG	2003/0018556	01/23/03	Squyres			

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation

## OTHER DOCUMENTS

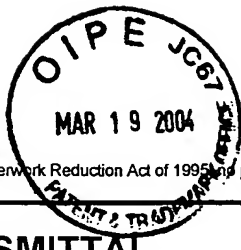
(Including Author, Title, Date, Pertinent Pages Etc.)

AH	Haugen, Robert A., <u>Modern Investment Theory, Fifth Edition</u> , Prentice Hall (2001) (pp. 1-4, 32-79, 201-228, 236-252, 272-298, 299-323, 618-629, 640-647.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/716,391	
	Filing Date	November 17, 2003	
	First Named Inventor	Randolph B. Cohen	
	Art Unit	2124	
	Examiner Name	To be assigned	
Total Number of Pages in This Submission	4+	Attorney Docket Number	HAE-001.01 (24612-101)

**ENCLOSURES (check all that apply)**

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s)  
(please identify below):
- PTO Form 1449 listing refs. AA-AH; Copy of listed ref. AH; and Return postcard.**

Remarks

**Customer Number : 25181****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Jeffrey M. Sears
Signature	
Date	March 16, 2004

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Steve Pereira		
Signature		Date	March 16, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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